

# **Code Subsidiary Document**

**No. CSD 0006:**

## **Trading Party Administration and Notification Processes**

## Change History

<b>Version Number</b>	<b>Date of Issue</b>	<b>Reason For Change</b>	<b>Change Control Reference</b>	<b>Sections Affected</b>

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## Definitions

Unless expressly stated otherwise, for the purposes of this CSD:

- (a) terms defined in the Wholesale-Retail Code Part 1 (Objectives, Principles and Definitions) shall apply; and
- (b) capitalised terms relating to the titles of Data Items or Data Transactions described in CSD 0301 (Data Catalogue) shall have the meaning attributed therein.

# 1. Purpose and scope

## 1.1 Purpose

1.1.1 This document describes the processes for Trading Party administration on the Market Operator Systems, and processes for the issuing of non-transactional notifications from the Market Operator to Trading Parties.

## 1.2 Scope

1.2.1 The processes set out in this CSD:

- (a) describe the administrative processes for a Trading Party relating to the provision of Trading Party Standing Data to the Market Operator, in order to enable use of the Market Operator Systems as set out in CSD 0001 (Market Entry Assurance and Market Re-assurance);
- (b) describe the administrative processes for a Trading Party relating to the maintenance of Trading Party Standing Data on Market Operator Systems;
- (c) describe how Trading Parties manage their users on the Market Operator Systems;
- (d) describe the administrative processes for a Trading Party using the high volume transactional interface as described in CSD 0401 (Transactional Interface for Trading Parties having a high volume of Data Transactions) to notify or update the Market Operator of their anomaly detection thresholds; and
- (e) describe how the Market Operator will issue non-transactional notifications to Trading Parties.

1.2.2 For the avoidance of doubt, non-transactional notifications between the Market Operator and Trading Parties do not include the provision of direct notifications from Wholesalers to Retailers. Non-transactional notification processes between the Market Operator and Trading Parties are set out in more detail in section 7 of this CSD.

1.2.3 This CSD should be read in conjunction with the Interface CSDs.

## **2. Process for the initial provision of Trading Party administration data**

### **2.1 Introduction**

2.1.1 As part of the Market Entry Assurance process described in CSD 0001 (Market Entry Assurance and Market Re-assurance), Applicants must provide information to the Market Operator in order to enable their use of the Market Operator Systems.

2.1.2 This information is provided at the completion of relevant assurance activities at the point that the Trading Party is ready to access the Market Operator Systems (including testing systems).

### **2.2 Process description**

#### **Step a: Provision of digital certificates and initiation of new Trading Party ID**

2.2.1 In order for a Trading Party to use any of the interfaces described in the Interface CSDs, both the Trading Party and the Market Operator must exchange the public key part of their respective organisation's digital certificate. In the first instance these digital certificates must be exchanged via a channel that is separate from the Market Operator Systems.

2.2.2 The Trading Party provides its organisation digital certificate to the Market Operator via email. The email must be sent by an authorised individual from the Trading Party who requires an administrator account to be set up on the Market Operator Systems, and must be accompanied by telephone contact details for that individual.

2.2.3 The Market Operator validates the digital certificate provided by the Trading Party.

2.2.4 If the Trading Party's digital certificate is invalid, the Market Operator informs the Trading Party of this by email, using the same email address from which the Trading Party digital certificate was sent. The process does not proceed any further until the issue has been resolved with the Trading Party, which may

require telephone discussions between the Market Operator and the Trading Party.

2.2.5 If the Trading Party's digital certificate is valid:

- (a) the Market Operator creates a new Trading Party ID in the Market Operator Systems, and binds the Trading Party digital certificate to the Trading Party ID;
- (b) the Market Operator provides its organisation digital certificate and the Trading Party ID, to the Trading Party via email, using the same email address from which the Trading Party digital certificate was sent; and
- (c) the Trading Party validates the digital certificate provided by the Market Operator;

2.2.6 If the Market Operator's digital certificate is invalid, the Trading Party shall inform the Market Operator of this by email, using the same email address from which the Market Operator digital certificate was sent. Where it is determined that the Market Operator is required to issue a new digital certificate to a Trading Party, it shall do so within one (1) Business Day.

2.2.7 A Trading Party may require multiple digital certificates to be registered with the Market Operator where a sub-contractor will manage transactional activity on its behalf. Both the Trading Party and the sub-contractor will complete market entry assurance, as set out in Section 4.3.1(c) of CSD 0001 (Market Entry Assurance and Market Re-assurance) on this basis. It remains the responsibility of the Trading Party to ensure that all digital certificates are managed appropriately irrespective of whether they are being used by the Trading Party or an authorised sub-contractor acting on behalf of the Trading Party.

#### **Step b: Set up first Trading Party administrator**

2.2.8 The Market Operator will only set up one (1) administrator account during this process. Once the Trading Party administrator account has been successfully set up, the administrator will be able to set up additional accounts for deputy administrators and users. It is the responsibility of the Trading Party to ensure that all administrator accounts are used appropriately.

- 2.2.9 The Market Operator validates the Trading Party's administrator details that have already been provided.
- 2.2.10 If the Trading Party administrator details are valid:
- (a) the Market Operator creates the administrator user account on the Market Operator Systems and generates a valid password for the account;
  - (b) the Market Operator confirms to the administrator by email that their administrator account has been set-up; which also includes the password.
- 2.2.11 If administrator details are invalid, the Market Operator will inform the Trading Party of this by email. The process will not proceed any further until the issue has been resolved, which may require telephone discussions between the Market Operator and the Trading Party.
- 2.2.12 If the Trading Party's digital certificate is invalid, the Market Operator will inform the Trading Party of this by email, using the same email address from which the Trading Party's digital certificate was sent. Where it is determined that the Trading Party is required to issue a new digital certificate to the Market Operator, it will do so within one (1) Business Day.

### **Step c: Trading Party administrator first login**

- 2.2.13 The Trading Party installs the Market Operator's organisation digital certificate on its systems.
- 2.2.14 The Trading Party administrator navigates to the Market Operator interface as described in CSD 0404 (Interface for the provision of non-transactional Data Items from Trading Parties), and logs in using the administrator name and password.
- 2.2.15 Should the administrator be unable to connect or log in to the Market Operator Systems, the administrator should confirm within the Trading Party that the correct technical configuration is in place and that the correct steps have been taken prior to contacting the Market Operator to resolve the issue.



- 2.2.16 Upon successful log in, the administrator is prompted to change their password.
- 2.2.17 Once the administrator has entered a valid new password which meets the required standard as specified in CSD 0400 (Common interface technical specifications), the new password is applied to the administrator account, the frequency of password change will be set centrally by the Market Operator.
- 2.2.18 Should the administrator be unable to log in to the Market Operator Systems, the administrator should confirm within the Trading Party that the correct technical configuration is in place and the correct steps have been taken prior to contacting the Market Operator to resolve the issue.

#### **Step d: Set up of Trading Party user accounts**

- 2.2.19 The Trading Party administrator sets up Trading Party user accounts via the screen, providing the following data for each user account:
- (a) user name; and
  - (b) Access permissions. This is a list containing a combination of the following elements, allowing individual Trading Party users to have access to multiple interfaces on multiple Market Operator Systems with different privilege levels:
    - (i) Market Operator Systems which is dependent on the Market Operator Systems the Trading Party has available to it at that time;
    - (ii) Market Operator interfaces to which the user can access; and
    - (iii) user privilege level, selected from a list of available privileges which are set by the Market Operator and the Trading Party administrator.
- 2.2.20 For each Trading Party user account configured, the user is sent an email informing them of their account details including their privilege levels and the Market Operator Systems which they can now access.

### **Step e: First log in by new Trading Party users**

- 2.2.21 The user navigates to any of the Market Operator interfaces they have been given access permission, and logs in using their user name and password.
- 2.2.22 Should the user be unable to connect or log in to the Market Operator Systems, the user should confirm within the Trading Party that the correct technical configuration is in place and the correct steps have been taken prior to contacting the Market Operator to resolve the issue.
- 2.2.23 Upon successful first log in by each user, they are prompted to change their password.
- 2.2.24 Once the user has entered a valid new password, the new password is applied to the user account and the user is logged out and is prompted to log back in again (using the new password).

## **3. Process for the maintenance of Trading Party administration data**

### **3.1 Introduction**

3.1.1 Trading Parties will be responsible for maintaining information on the Market Operator Systems in order to ensure that their contact details are kept up to date, and that they are correctly configured to show the status of any Retailer for Interim Supplier Allocation Process or Direction to Supply Allocation Process purposes.

3.1.2 The Trading Party user undertaking the maintenance of this data must:

- (a) be configured as a user on the production Market Operator System;
- (b) be configured as a user on the interface for the provision of Wholesaler Tariff Data and other Data Items from Trading Parties; and
- (c) have the appropriate privileges to update data on the relevant Market Operator System.

### **3.2 Process description**

#### **Step a: Trading Party administration data entry**

3.2.1 The user navigates to the Market Operator interface as described in CSD 0404 (Interface for the provision of non-transactional Data Items from Trading Parties), and logs in.

3.2.2 The Trading Party administrator updates, as required, the following Trading Party administration data via the screen;

- (a) Contract Manager email address;
- (b) Contract Manager telephone number(s);
- (c) Contract Manager Deputy email address(es); and
- (d) Contract Manager deputy telephone number(s).

3.2.3 Additionally, if the Trading Party is a Wholesaler, the user must update the following Trading Party administration data:

- (a) each of the Retailers who have concluded a Wholesale Contract with each Wholesaler, selected from a list of all Trading Parties that are Retailers as set out in section 4.3.2 of the Market Terms; and
- (b) apply a flag against Retailers to indicate that they have a contract but are not permitted to obtain any more Eligible Premises or Non-Household Customers within the Wholesaler's Area. Reference should also be made to Appendix A 2.1(b) in CSD 0102 (Registration: Transfers).

3.2.4 If the Trading Party is a Retailer, the user can update the following Trading Party administration data via the screen:

- (a) information necessary to opt in for the purposes of Interim Duty Supply Point Allocation, as detailed in CSD 0004 (Interim Supplier Allocation Process); and
- (b) information necessary for the purposes of Direction to Supply Allocation per Service Category per Wholesaler Area, as detailed in CSD 0005 (Direction to Supply Allocation Process).

3.2.5 Where the Trading Party is a Wholesaler and also the Data Owner, the user can notify the Market Operator of Reports that it has agreed can be shared with another Wholesaler (e.g. where the Wholesaler's Area adjoins the Area of another Wholesaler). This process is subject to a bilateral agreement between the affected Wholesalers which is dealt with outside of this CSD. It is the responsibility of the Wholesaler who is the Data Owner to notify the Market Operator of any changes to this data access arrangement within two (2) Business Days using the same notification process and in accordance with Section 4.3.2 of the Market Terms.

## 4. Process for the maintenance of Trading Party users

### 4.1 Introduction

4.1.1 Trading Parties will be responsible for maintaining user accounts on the Market Operator Systems. This includes:

- (a) ensuring that only active users have active user accounts;
- (b) ensuring that individuals who no longer require to be users (e.g. individuals who have left the Trading Party) have their account terminated; and
- (c) ensuring that users have privileges appropriate to their role within the Trading Party.

4.1.2 Trading Parties should update user accounts on the Market Operator Systems as promptly as possible. Trading Parties must:

- (a) undertake a review every three (3) months to identify and lock out inactive users, and to identify and update changes to privilege levels; and
- (b) terminate accounts as part of the exit process for leavers, but always within one (1) week of the user having left the Trading Party.

4.1.3 Maintenance of user accounts can only be undertaken by an administrator.

### 4.2 Process description

#### Step a: Access Trading Party user account management screen

4.2.1 The Trading Party administrator navigates to the Market Operator interface as described in CSD 0404 (Interface for the provision of non-transactional Data Items from Trading Parties), and logs in.

4.2.2 The Trading Party administrator is presented with a user account management screen, which lists all of that Trading Party's user accounts, the associated privileges and account status; and a summary of account activity.

### Step b: Update existing user accounts

4.2.3 The Trading Party administrator updates user accounts via the screen, which allows the update of any of the following:

- (a) the status of the user account (including termination status);
- (b) the access permissions allowing users to have access to interfaces on multiple Market Operator Systems with different privilege levels (depending on which Market Operator Systems the Trading Party has available at that point in time); and
- (c) user passwords.

4.2.4 New users will be set up following the process set out in 2.2.19 of this CSD.

## **5. Certificate management**

### **5.1 Introduction**

- 5.1.1 Trading Parties are responsible for maintaining their digital certificate information on the Market Operator Systems in order to ensure continued secure access.
- 5.1.2 The Market Operator is responsible for providing up to date digital certificate information to all Trading Parties to ensure continued secure access.
- 5.1.3 In order to ensure service continuity, the Market Operator and Trading Parties will ensure that digital certificates are exchanged no later than two (2) Business Days before the digital certificate expiry date following the processes set out in sections 5.2 and 5.3 below.

### **5.2 Process description – Trading Party updates digital certificate in advance**

- 5.2.1 Prior to the expiry of its current digital certificate, each Trading Party procures a new digital certificate.
- 5.2.2 A Trading Party administrator then navigates to the Market Operator interface as described in CSD 0406 (Service Management Interface), and logs in.
- 5.2.3 The Trading Party administrator provides the new digital certificate to the Market Operator via the interface.
- 5.2.4 The Market Operator validates the new digital certificate provided by the Trading Party.
- 5.2.5 If the new digital certificate is invalid, the Market Operator informs the Trading Party of this via the interface, along with details to assist the Trading Party in resolving the issue.
- 5.2.6 If the new digital certificate is valid, but its valid from date is such that there will be a gap between the valid to date of the Trading Party's current digital certificate and the valid from date of the new digital certificate, the Market Operator informs the Trading Party of this via the interface, along with details to allow the Trading Party to resolve the issue expeditiously. The Market Operator applies the new digital certificate nonetheless.

5.2.7 If the new digital certificate is valid, and its valid from date is such that there is no gap between the valid to date of the Trading Party's current digital certificate and the valid from date of the new digital certificate, the Market Operator applies its new digital certificate to the Market Operator Systems and informs the Trading Party of this via the interface.

### **5.3 Process description – Trading Party updates digital certificate after expiry or revocation of current digital certificate**

5.3.1 If a Trading Party does not undertake the process described in Section 5.2 of this CSD, the Trading Party will be prevented from accessing the Market Operator Systems upon the expiry of its current digital certificate.

5.3.2 After expiry or revocation of a Trading Party's current digital certificate, the Trading Party procures a new digital certificate.

5.3.3 The Trading Party then contacts the Market Operator by telephone, and arranges to provide the new digital certificate by email.

5.3.4 The Trading Party provides the new digital certificate by email. The email must be sent by a Trading Party administrator.

5.3.5 The Market Operator validates the new digital certificate provided by the Trading Party.

5.3.6 If the new digital certificate is invalid, the Market Operator informs the Trading Party of this via email to the Trading Party administrator, along with details to assist the Trading Party in resolving the issue.

5.3.7 If the new digital certificate is valid, the Market Operator applies the new digital certificate and informs the Trading Party of this via email to the Trading Party administrator.

5.3.8 Once the new digital certificate has been applied by the Market Operator the Trading Party is able to access to the Market Operator Systems.



## 5.4 Process description – Market Operator updates digital certificate in advance of expiry

- 5.4.1 Prior to the expiry of its current digital certificate, the Market Operator will procure a new digital certificate.
- 5.4.2 The Market Operator will make the public key part of its new digital certificate available through the service management interface as described in CSD 0406 (Service Management Interface).
- 5.4.3 It is the responsibility of Trading Parties to monitor the interface for the publication of new Market Operator digital certificates.
- 5.4.4 Each Trading Party will validate the new digital certificate provided by the Market Operator.
- 5.4.5 If the new digital certificate is invalid, the Trading Party will inform the Market Operator of this via the interface, along with details to assist the Market Operator in resolving the issue.
- 5.4.6 If the new digital certificate is valid, but its valid from date is such that there will be a gap between the valid to date of the Market Operator's current digital certificate and the valid from date of the new digital certificate, the Trading Party informs the Market Operator of this via the interface, along with details to allow the Market Operator to resolve the issue. The Trading Party applies the new digital certificate to its systems nonetheless.
- 5.4.7 If the new digital certificate is valid, and its valid from date is such that there is no gap between the valid to date of the Market Operator's current digital certificate and the valid from date of the new digital certificate, the Trading Party applies the new digital certificate to its systems and informs the Market Operator of this via the interface.

## **5.5 Process description – Market Operator updates digital certificate after expiry or revocation of current digital certificate**

- 5.5.1 If a Trading Party does not undertake the process described in section 5.4, the Trading Party will be prevented from accessing the Market Operator Systems upon expiry of the current digital certificate.
- 5.5.2 After expiry or revocation of the Market Operator's current digital certificate, the Market Operator procures a new digital certificate.
- 5.5.3 The Market Operator then contacts each Trading Party by telephone, and arranges to provide the new digital certificate by email.
- 5.5.4 The Market Operator provides the new digital certificate by email.
- 5.5.5 Each Trading Party validates the new digital certificate provided by the Market Operator.
- 5.5.6 If the new digital certificate is invalid, the Trading Party informs the Market Operator of this via email, along with details to assist the Market Operator in resolving the issue.
- 5.5.7 If the new digital certificate is valid, the Trading Party applies the new digital certificate to its systems and informs the Market Operator of this via email.
- 5.5.8 Once the new digital certificate has been applied by the Trading Party it is able to access to the Market Operator Systems.

## 6. Process for Trading Parties to notify the Market Operator of changes to anomaly detection thresholds

- 6.1.1 This process is only relevant to Trading Parties who need to transact or are already transacting through the high volume transaction interface as described in CSD 0401 (Transactional Interface for Trading Parties having a high volume of Data Transactions).
- 6.1.2 The Market Operator will use indicative peak daily volumes provided by each Trading Party to establish an overall anomaly detection threshold for all Data Transactions being submitted to the Market Operator through the interface.
- 6.1.3 Before using the high volume transaction interface for the first time, Trading Parties will be required to submit an estimated daily peak volume of Data Transactions to the Market Operator.
- (a) the Trading Party administrator using the appropriate screen in the service management interface described in CSD 0406 (Service Management Interface) will submit the anomaly detection value for their organisation; and
  - (b) the Market Operator will confirm receipt of this value through the service management interface in addition will send a confirmation email to the Trading Party administrator.
- 6.1.4 The Market Operator will use all the estimated daily peak volumes of transactions received from Trading Parties using the high volume transaction interface to determine a total anomaly detection threshold for the Central Systems.
- 6.1.5 Where individual Trading Party thresholds are exceeded, or the total anomaly detection threshold for the Central Systems will be breached, the Market Operator will:
- (a) immediately contact Trading Party administrators by telephone to confirm their organisation's transaction activities to determine a whether any anomalous activities are occurring;

- (b) if necessary agree a new threshold value with the Trading Party which the Trading Party administrator will then submit through the service management interface as described in 6.1.3 above.

6.1.6 If a Trading Party identifies that due to an increase in business activities the anomaly detection threshold value that has been previously submitted to the Market Operator will be exceeded on a regular basis, then the Trading Party will notify the Market Operator of a revised value following the steps set out in 6.1.3.

## **7. Process for the Market Operator to issue non-transactional notifications to Trading Parties**

### **7.1 Introduction**

7.1.1 The Market Operator may need to issue non-transactional notifications to Trading Parties from time to time.

7.1.2 The channel by which any such non-transactional notifications will be issued will depend on the nature of the notification.

7.1.3 The channels that the Market Operator will use to issue non-transactional notifications are as follows:

- (a) the service management interface, as described in CSD 0406 (Service Management Interface);
- (b) email;
- (c) a telephone call.

7.1.4 It is the responsibility of the Trading Parties to monitor the service management interface for notifications.

7.1.5 It is the responsibility of the Trading Parties to ensure that all email account information is kept up to date and accurate, and to monitor the relevant email accounts for Market Operator notifications.

7.1.6 It is the responsibility of the Trading Parties to ensure that all telephone contact information is kept up to date and accurate.

7.1.7 The Market Operator cannot be held responsible if it is unable to provide notifications to the Trading Party for reasons outside its own control.

### **7.2 Process description**

7.2.1 The Market Operator will identify a requirement to issue a notification to one or more Trading Parties.

7.2.2 The Market Operator will categorise the nature and urgency of the notification, and choose the most appropriate channel from those listed in 7.1.3.

7.2.3 The Market Operator will ensure that all notifications are appropriately categorised and will follow the general principles set out below:

- (a) for general and market related notifications which are not urgent (including system related notifications), the Market Operator will:
  - (i) publish notifications on the service management interface;
- (b) for general and market related notifications which are urgent, the Market Operator will:
  - (i) contact the Contract Manager and Contract Manager deputies by email and telephone; and
  - (ii) publish notifications on the service management interface;
- (c) for urgent system related notifications the Market Operator will:
  - (i) contact the Trading Party's administrator or deputy administrator; and
  - (ii) publish notifications on the service management interface.

7.2.4 In all cases where the Market Operator has attempted to contact the Trading Party by telephone but has been unable to do so, it will continue to attempt to do so at least every one (1) hour during the Business Day or until the notification is no longer relevant.

7.2.5 Where the Market Operator identifies that the situation is material, the Market Operator will invoke its business continuity management arrangements as set out in CSD 0007 (Business Continuity Management).